

FINRA[®]

Rule 3110.18

Remote Inspections Pilot Program

Opt-in /Opt-out Notice: Firm Experience in FINRA Gateway

***DRAFT CONCEPT OF FUNCTIONALITY
(May 2024)***

Entitlement Set-up for Remote Inspection Submission

Firm Users need to confirm with their Super Account Administrator (SAA) if "Information request forms - Submit"- entitlement is present for their FINRA gateway login to view 3110.18 Remote Inspection Opt-in/Opt-out Notice

For the SAA view: Go to Admin → Search User → Edit Entitlement → Search "Information request". Confirm the user checkbox is selected for "Information Request Forms" and "Submit".

User Entitlement

information request × 🔍 ^ Collapse All

1 results ↓ Next ↑ Previous ✕ Clear search results

Entitlement Types
User: The ability to use the functionality as defined by the privilege.
Administrator: The ability to assign the privilege to other users and view the privilege assigned to other users.

Information Request Forms

Submit	<input checked="" type="checkbox"/> User	<input type="checkbox"/> Admin	<input type="checkbox"/> Privilege Viewer
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Steps for Firm Users to Submit Opt-in/Opt-out Information

- **Log in to FINRA Gateway to find “Forms & Filings”**
 - **“Forms & Filings” can be found under quick links; (or)**
 - **Navigate to “Requests & Filings” to find “Browse Forms & Filings”**
- **Click on “Browse Forms & Filings”**
- **Click on “3110.18(i) Remote Inspection Opt-in/Opt-out Notice”.**
 - **Click on the “Create” link to opt-in for the pilot program.**

Firm Opt-in/Opt-out Notice Link

Browse Forms & Filings



Browse forms & filings below to start the process for creating a filing or learn more

My Filings

Other Filings

3110.18(i) Remote Inspection Opt-In/Opt-Out Notice

[Create](#) | [Info](#)

Annual Audit

[View](#) | [Info](#)

Customer Margin Balance

[View](#) | [Info](#)

Distribution Manager

[View](#) | [Info](#)

FINRA 4230 (b) - Request for Extension of Time Monthly Report

[View](#) | [Info](#)

FINRA Exam Waivers

[View](#) | [Info](#)

Firm Clearing Arrangements

[View](#) | [Info](#)

Form PF - Private Equity Fund Events Report

[Create](#) | [Info](#)

Form PF - Hedge Fund Events Report

[Create](#) | [Info](#)

Form T Equity Trade Reporting

[View](#) | [Info](#)

Membership

[View](#) | [Info](#)

Financial Notifications

[View](#) | [Info](#)

Regulatory Notifications

[Info](#)

Aggregate Indebtedness > 1200% of Net Capital - Rule 17a-11(b)(1)

[Create](#) | [Info](#)

Covered Agency TNC Threshold >\$25 Million or 25% - Rule 4210(e)(2)(H)(ii)d.3

[Create](#) | [Info](#)

Electronic Recordkeeping Systems - Rule 17a-4(f)(3)(v)(A)

[Create](#) | [Info](#)

Failure to Keep Books and Records- Rule 17a-11(c)

[Create](#) | [Info](#)

Material Inadequacy and/or Material Weakness - Rule 17A-11(d)(1), (d)(2) & 17a-5(h)

[Create](#) | [Info](#)

Net Capital < 5% Aggregate Debit Items - Rule 17a-11(b)(2)

[Create](#) | [Info](#)

"Firm Ineligible" View

FINRA NAMEOFFIRM, INC (CRD: #####) [SUBMIT IDEA](#) Profile Search

Remote Inspection Opt-in/Opt-out Notice Filing ID: #####-####-#### Created: ####/####/#### Updated: ####/####/#### Status: In Progress



Firm is Ineligible:

The member firm is ineligible to participate in the Remote Inspections Pilot Program under Rule 3110.18 at this time. For more information, please contact your [Risk Monitoring Analyst](#) or contact the FINRA Support Center at 301-590-6500.

[RETURN TO REQUESTS AND FILINGS](#)

Certain ineligible firms will see this screen upon clicking the "Create" link to opt-in/opt-out of the Remote Inspections Pilot Program

Opt-in/Opt-out Form

FINRA NAMEOFFIRM, INC (CRD: #####) SUBMIT IDEA Profile Search SL

Remote Inspection Opt-in/Opt-out Notice Filing ID: #####-####-#### Created: ##/##/#### Updated: ##/##/####, ##:## PM Status: In Progress

Remote Inspection Opt-in/Opt-out Notice

① Please reference the table below to identify the Pilot Year that your firm would like to opt-in or opt-out for. **Any action taken by your firm to opt-in or opt-out within the date ranges noted in the "Firm Action Date" will result in opting in or out for the corresponding time period noted in the table.** For example, if you would like to opt-in for Pilot Year 1, your firm must complete this form no later than June 26, 2024. If your firm would like to opt-in for Pilot Year 2, you should not complete the opt-in form until June 27, 2024, and no later than December 27, 2024. For more guidance, please see Regulatory Notice 24-02. If you have opted-in, your firm is opted-in to the Pilot Year noted below, as well as all subsequent years. If your firm would like to opt-out, your firm is required to opt-out within the time frame noted below for the corresponding pilot years.

For any concerns, please contact your Risk Monitoring Analyst or contact the FINRA Support Center at 301-590-6500.

Pilot year	Date range
Pilot year 1 - 2024	June 1, 2024 - Jun 26, 2024*
Pilot year 2 - 2025	Jun 27, 2024 - Dec 27, 2024*
Pilot year 3 - 2026	Dec 28, 2024 - Dec 27, 2025*
Pilot year 4 - 2027	Dec 28, 2025 - Dec 27, 2026*

*The opt-in/opt-out window begins at 12AM EST and ends at 11:59PM PST

The member firm agrees to opt-in/opt-out of the Remote Inspection Pilot Program as outlined in FINRA 3110.18. (Opt-in/Opt-out period guidelines above)

Opt-In
 Opt-Out

Completeness Check Print Preview Save SUBMIT

Clicking the Opt-in/opt-out link will open the form.

Make your selection and click submit.

You will be automatically added to a pilot year based on the window mentioned in the form and your submission time.

Requests & Filings Card

Filters

Expand all Collapse all Reset

Date

All

Overdue

Status

Scheduled

Draft

Financial / Operational >

Regulatory Notifications >

Forms and Filings >

Information Request >

Restricted Firm Deposit Withdrawal Request >

Requests & Filings Browse Forms & Filing

Search Criteria

Search for Work Items

Active (88) Completed

Refresh Sort By Create Date Descending

Remote Inspection Opt-In/Opt-Out Notice Information Request	Created 05/08/24	Last Updated 05/09/24, 10:06 AM				Status Draft	Actions 🗑️
Regulatory Notifications Aggregate Indebtedness > 1200% of Net Capital	Filing ID 250e-2cb5-fd39	Version 1	Created 04/12/24 16:21	Last Updated 04/15/24 14:09	Status Draft	Actions 🗑️	
Regulatory Notifications TNC Threshold >5% or >25%	Filing ID e3b9-4594-89ac	Version 1	Created 04/05/24 08:33	Last Updated	Status Draft	Actions 🗑️	
Regulatory Notifications	Filing ID	Version	Created	Last Updated	Status	Actions	

The Remote Inspection filing will be in Draft status and on the Active Tab until submission.

The Draft can be deleted if necessary.

Once submitted, filing will be moved to Completed Tab.